#9

OIPE VOIS

PATENTS CF/002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Stuart A. Fraser et al.

informal drawings filed on April 19, 2000.

Application No.: 09/553,423 Confirmation No.: 3987

Filed : April 19, 2000

For : SYSTEMS AND METHODS FOR TRADING

Group Art Unit : 3628

Examiner : Harish T. Dass

New York, New York July 31, 2003

Hon. Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

RECEIVED

AUG 0 8 2003

SUBMISSION OF FORMAL DRAWINGS

Sir:

Pursuant to 37 C.F.R. § 1.85, applicants herewith furnish thirty-two (32) sheets of formal drawings (Figs. 1-25b), to be substituted for the thirty-two sheets of

Respectfully submitted,

Joel Weiss

Reg. No. 44,398

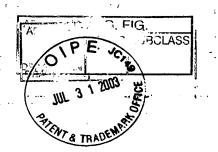
Attorney for Applicants

FISH & NEAVE

Customer No. 1473

1251 Avenue of the Americas New York, New York 10020-1104

Tel.: (212) 596-9000 Fax: (212) 596-9090



Applicants: Stuart A. Fraser et al. Filed: April 19, 2000

Docket No.: CF/002 For: SYSTEMS AND METHODS FOR TRA Attorney: Joel Weiss, Reg. No. 44,398 Tele. I Express Mail Label No.: EV242439368US Shee

Appl. No.: 09/553,423

2-596-9000

1/32

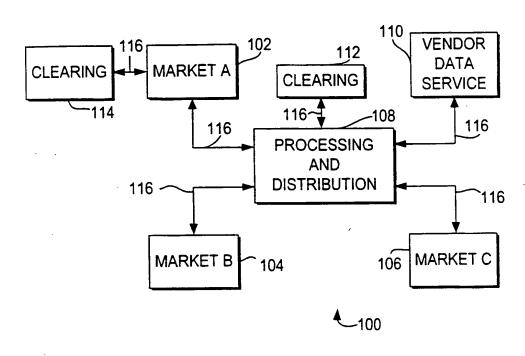


FIG. 1

THE 3 1 2003 W

Applicants: Stuart A. Fraser et al. Filed: April 19, 2000

For: SYSTEMS AND METHODS FOR TRAD Attorney: Joel Weiss, Reg. No. 44,398 Tele. No. Express Mail Label No.: EV242439368US Sheet

Docket No.: CF/002 Appl. No.: 09/553,423 S FOR TRAD Tele. No. 596-9000 US Sheet 2 of 32

2/32

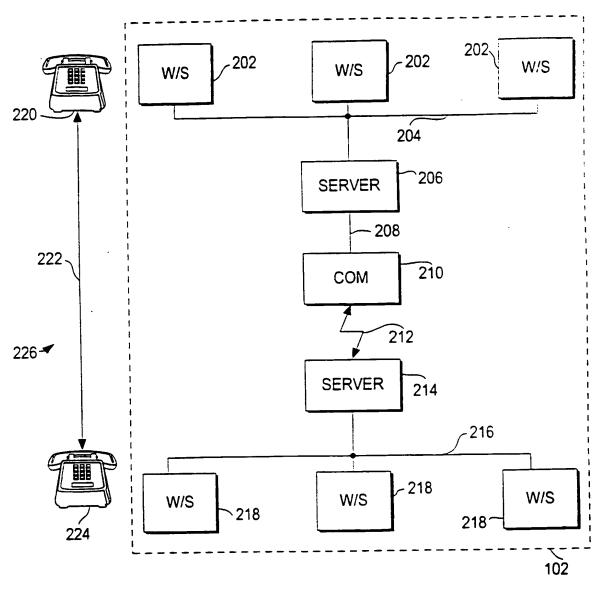
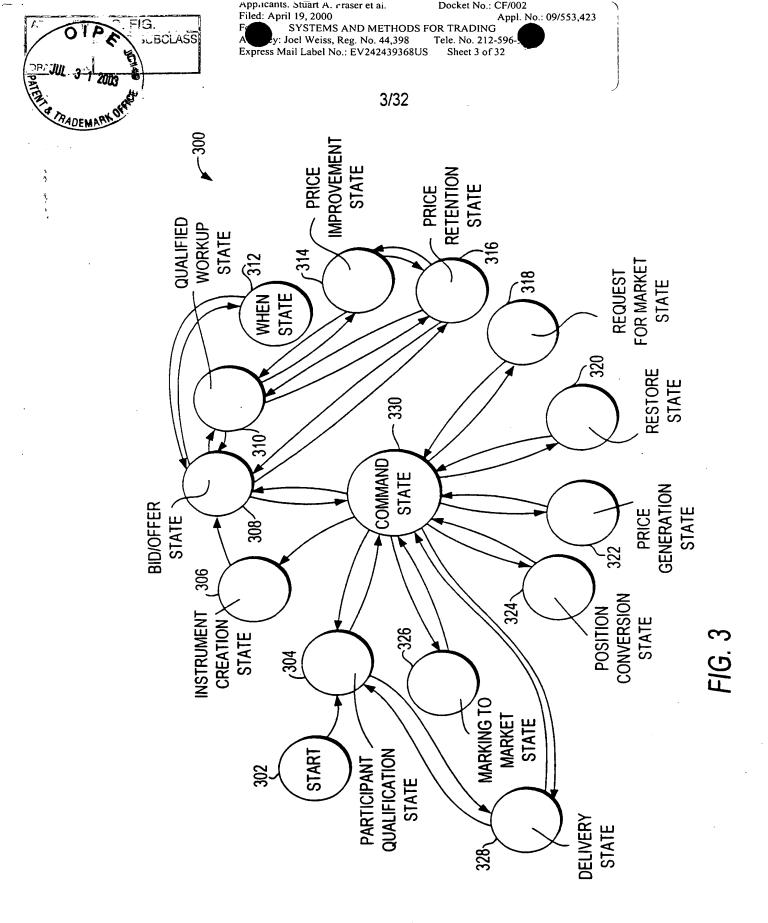


FIG. 2



Docket No.: CF/002 Appl. No.: 09/553,423

Tele. No. 21 Express Mail Label No.: EV242439368US Sheet 4 of 32



4/32

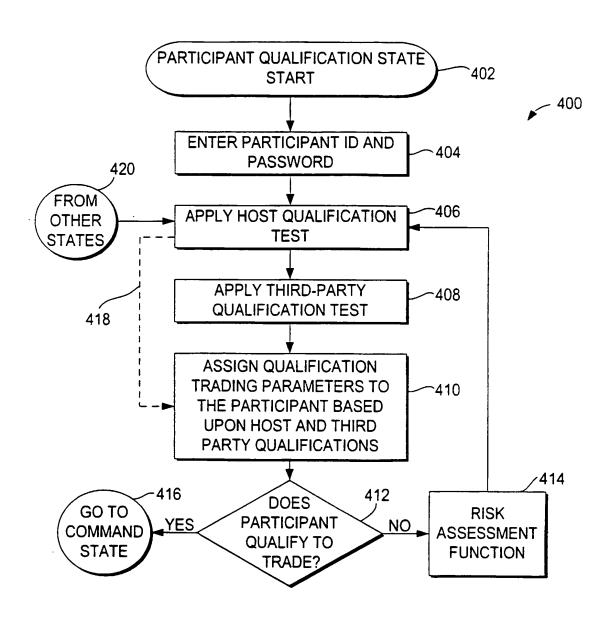


FIG. 4



Applicants: Stuart A. Fraser et al.
Filed: April 19, 2000
For SYSTEMS AND METHODS FOR TRADING
Attack y: Joel Weiss, Reg. No. 44,398
Express Mail Label No.: EV242439368US

Docket No.: CF/002
Appl. No.: 09/553,423
Tele. No. 212-596-9
Sheet 5 of 32

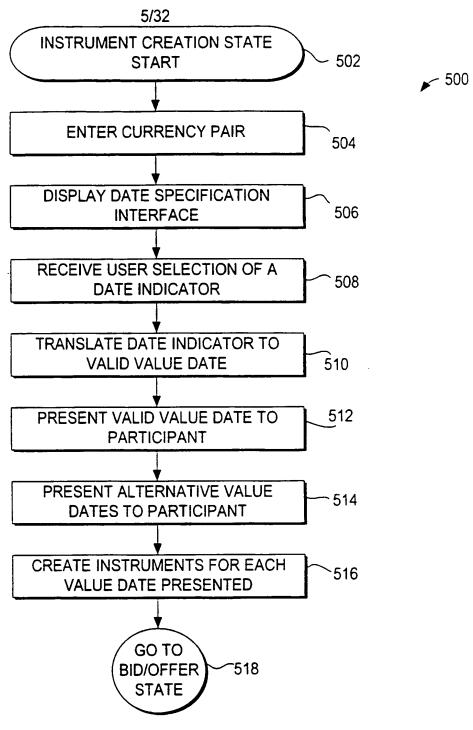
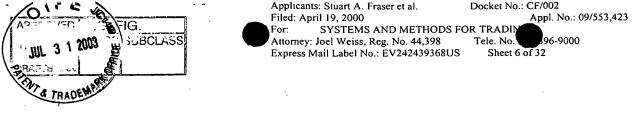
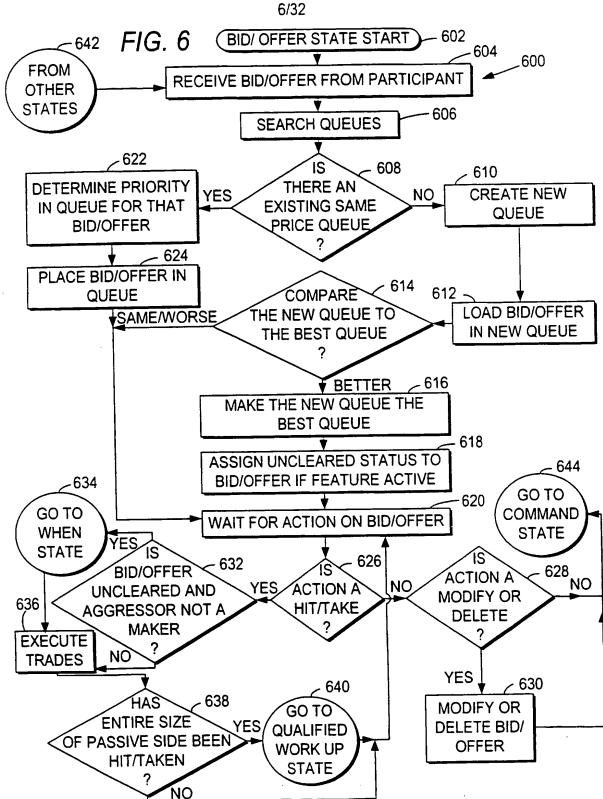


FIG. 5







Applicants: Stuart A. Fraser et al.

Filed: April 19, 2000

Cr. SYSTEMS AND METHODS FOR TRADING Telloriney: Joel Weiss, Reg. No. 44,398

Express Mail Label No.: EV242439368US

Toriney: Joel Weiss, Reg. No. 44,398

Express Mail Label No.: EV242439368US

Sheet 7 of 32

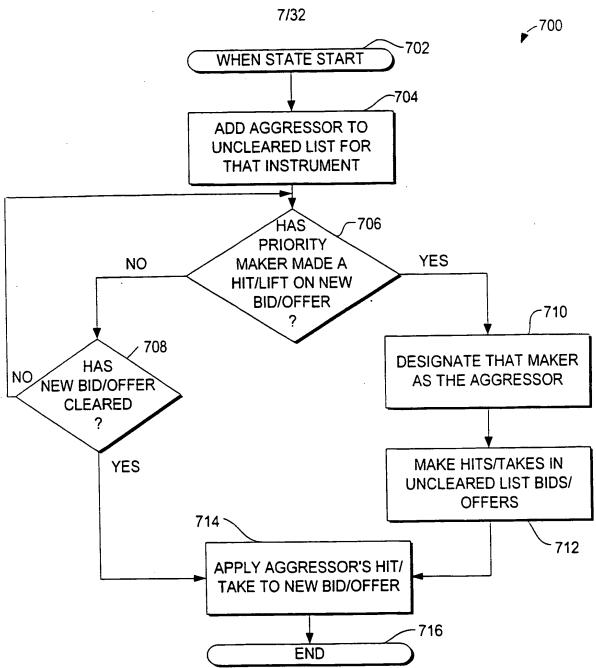


FIG. 7



Applicants: Stuart A. Fraser et al.
Filed: April 19, 2000

pr: SYSTEMS AND METHODS FOR TRADING ttorney: Joel Weiss, Reg. No. 44,398

Express Mail Label No.: EV242439368US

Tele. No. 21

Sheet 8 of 32

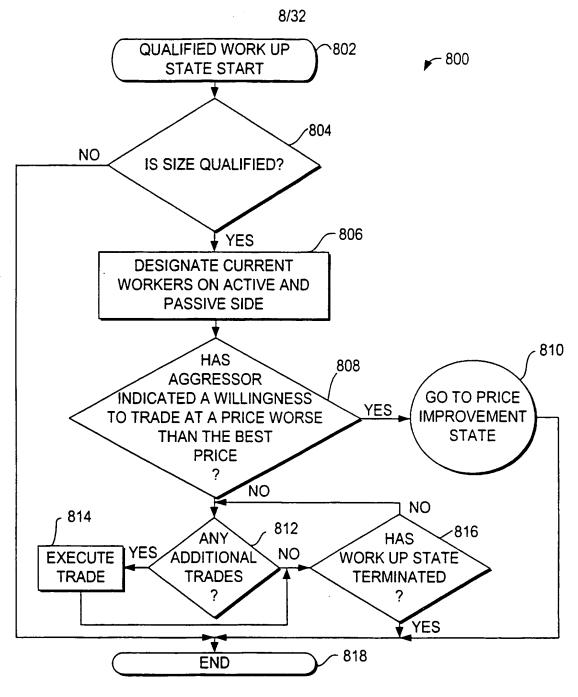
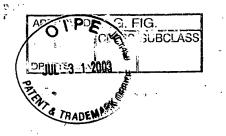


FIG. 8



Applicants: Stuart A. Fraser et al.

Docket No.: CF/002
Appl. No.: 09/553,423
Appl. No.: O9/553,423
Appl. No.: O9/553,423

Tele. No. 212-596-90
Express Mail Label No.: EV242439368US
Applicants: Stuart A. Fraser et al.

Docket No.: CF/002

Appl. No.: 09/553,423

Tele. No. 212-596-90

Sheet 9 of 32
Docket No.: CF/002

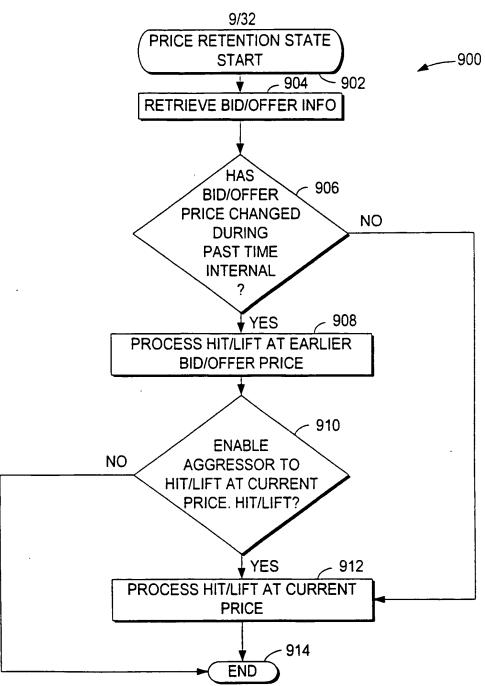
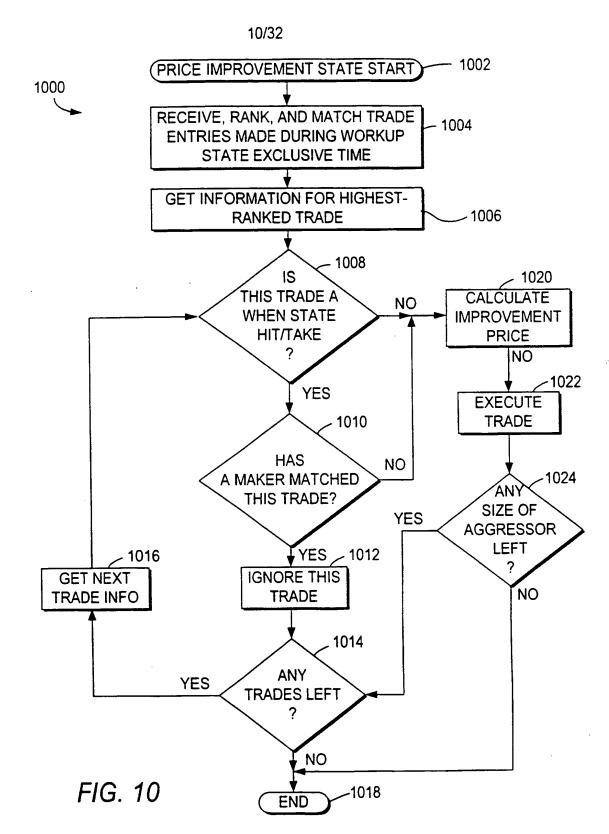
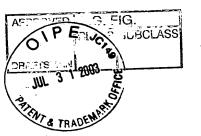


FIG. 9





Applicants: Stuart A. Fraser et al.

Docket No.: CF/002

Applicants: April 19, 2000

SYSTEMS AND METHODS FOR TRADING

Attorney: Joel Weiss, Reg. No. 44,398

Express Mail Label No.: EV242439368US

Docket No.: CF/002

Applicants: Op/502

Applicants: Tele. No.: CF/002

Applicants: Op/502

Applicants: Op/503,423

Tele. No.: 212-596-9000

Sheet 11 of 32

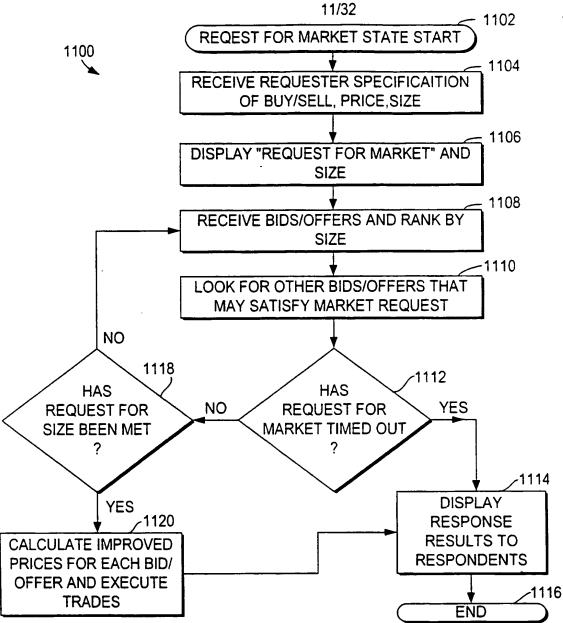


FIG. 11

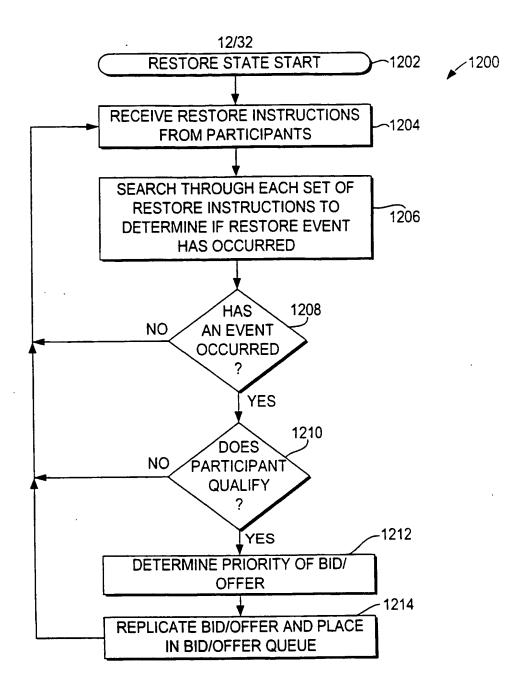


FIG. 12



Applicants: Stuart A. Fraser et al.

Docket No.: CF/002
Appl
SYSTEMS AND METHODS FOR TRADING
Attorney: Joel Weiss, Reg. No. 44,398
Express Mail Label No.: EV242439368US
Docket No.: CF/002
Appl
O9/553,423
Tele. No. 212-596-9000
Sheet 13 of 32

13/32

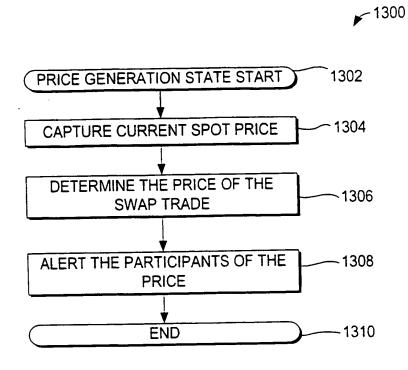


FIG. 13

Applicants: Stuart A. Fraser et al. ril 19, 2000

Docket No.: CF/002 Appl.

SYSTEMS AND METHODS FOR TRADING Tele. No. 212-596-9000 09/553,423

Attorney: Joel Weiss, Reg. No. 44,398 Express Mail Label No.: EV242439368US Sheet 14 of 32

14/32

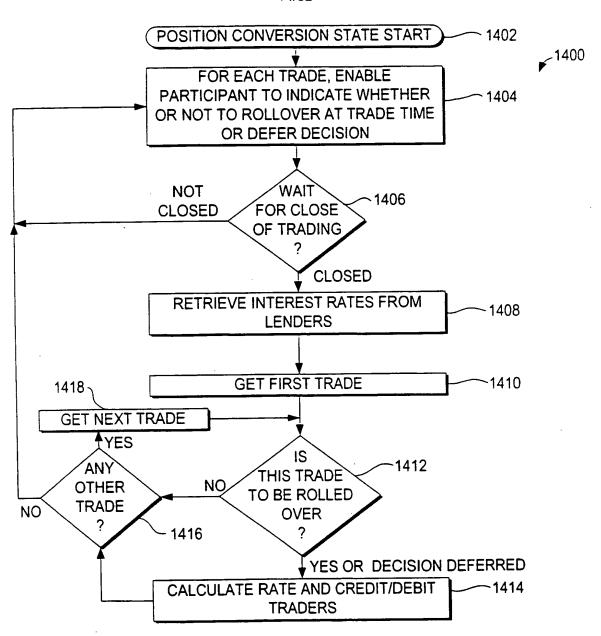
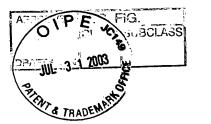


FIG. 14



Applicants: Stuart A. Fraser et al.

Filed iil 19, 2000
SYSTEMS AND METHODS FOR TRADING
Attorney: Joel Weiss, Reg. No. 44,398
Express Mail Label No.: EV242439368US

Docket No.: CF/002
Appl. N
P/553,423
Tele. No. 212-596-9000
Sheet 15 of 32

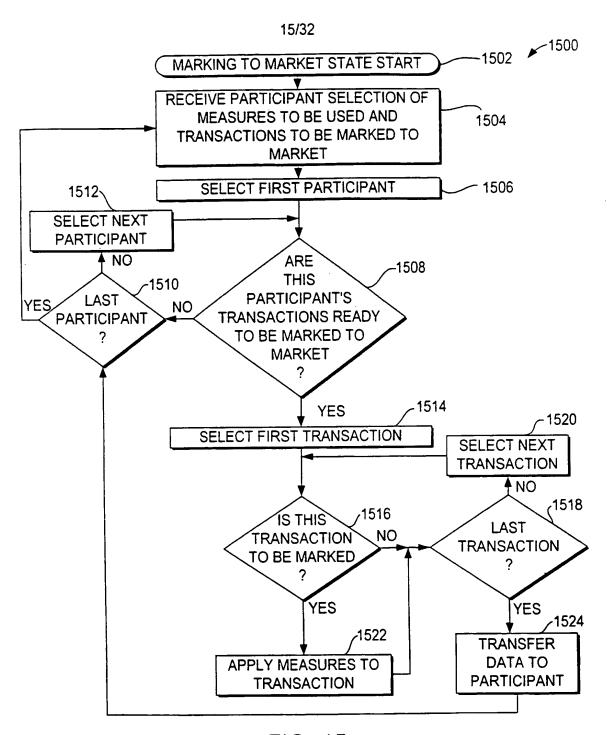


FIG. 15



Applicants: Stuart A. Fraser et al.

Fig. April 19, 2000

SYSTEMS AND METHODS FOR TRADING

Attorney: Joel Weiss, Reg. No. 44,398

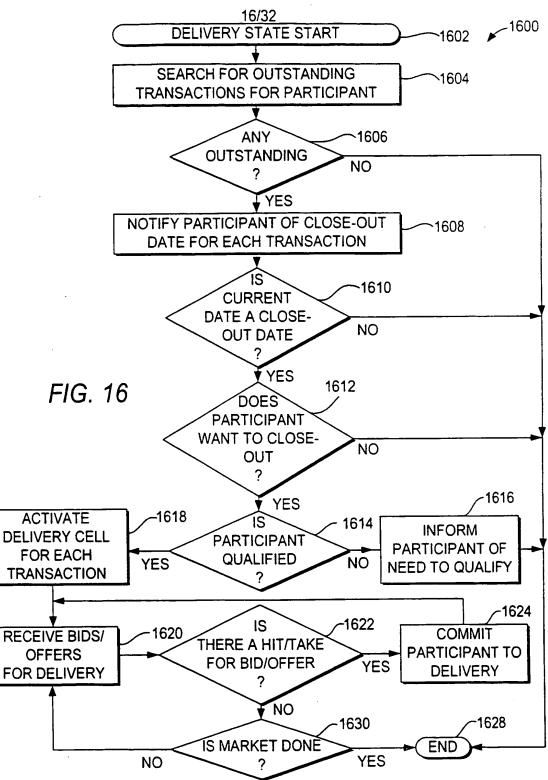
Express Mail Label No.: EV242439368US

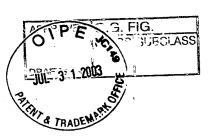
Docket No.: CF/002

Appl No.: 09/553,423

Tele. No. 212-596-9660

Sheet 16 of 32





Applicants: Stuart A. Fraser et al.

Fig. pril 19, 2000

Fo. SYSTEMS AND METHODS FOR TRADING
Attorney: Joel Weiss, Reg. No. 44,398

Express Mail Label No.: EV242439368US

Docket No.: CF/002

Appl.

Tele. No. 212-596-9000

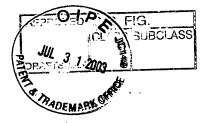
Sheet 17 of 32

09/553,423

17/32

FIG. 17

\$/YEN	120.15	₅₀ ~1702	25	120.10	/	04 15
	CUST.	BID	вот	CUST.	OFFER	SOLD
	2001 2002(200)	10 _1710 15 _1712	0	2007 2006	5 _1714 10 _1716	0 0
	TOTAL(200)	25 - 1706	0		15 \(\)1708	0



Applicants: Stuart A. Fraser et al. Figure pril 19, 2000

Docket No.: CF/002

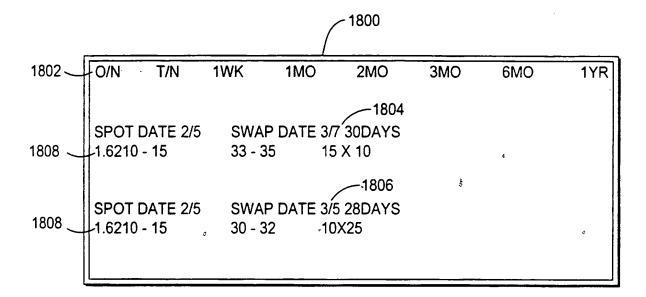
SYSTEMS AND METHODS FOR TRADING Tele. No. 212-596-9000

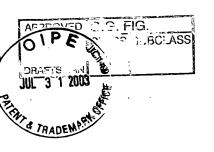
09/553,423

Attorney: Joel Weiss, Reg. No. 44,398 Express Mail Label No.: EV242439368US Sheet 18 of 32

18/32

FIG. 18





Applicants: Stuart A. Fraser et al.

Docket No.: CF/002
File poril 19, 2000
Appl.
SYSTEMS AND METHODS FOR TRADING

Attorney: Joel Weiss, Reg. No. 44,398 Tele. No. 212-596-Express Mail Label No.: EV242439368US Sheet 19 of 32

Tele. No. 212-596-9000

09/553,423

19/32

FIG. 19

\$/YEN	\					
	121	.205	27	121	1.220	10
	CUST.	BID	вот	CUST.	OFFER	SOLD
1904 -	-3001 3002 3001 3003	5 1 1 20	0 0 0 0	* 3007	10 1906 -	0
	TOTAL	_1902 27	0		/1908 10	0



Docket No.: CF/002 Applicants: Stuart A. Fraser et al. Docket No.: CF/002
Filed: 19, 2000
For: SYSTEMS AND METHODS FOR TRADING
SYSTEMS AND METHODS FOR TRADING

Tele. No. 212-596-9000

Attorney: Joel Weiss, Reg. No. 44,398 Tele. No. 212-596
Express Mail Label No.: EV242439368US Sheet 20 of 32

20/32

FIG. 20

\$/YEN	l					
	121.205		20	20 *121.220 1		1
	CUST.	BID	вот	CUST.	OFFER	SOLD
1 1	-3002 -3003	10 10	0	*3007	1	2106
	TOTAL	20	0		1	0



Applicants: Stuart A. Fraser et al.

File Paril 19, 2000

For SYSTEMS AND METHODS FOR TRADING

Attorney: Joel Weiss, Reg. No. 44,398

Express Mail Label No.: EV242439368US

Docket No.: CF/002

Appl. No.: 09/553,423

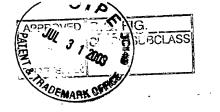
Tele. No. 212-596-9006

Sheet 21 of 32

21/32

FIG. 21

\$/YEN					
· 12	1.205	20	12	21.220 WT	ΓΑΚ 1 ·
CUST.	BID	вот	CUST.	OFFER	SOLD
2156~3002 2158~3003 2152~3001	0 0	0 0 0	3007 - 2154	1	2106
TOTAL	1	0		1	0



Applicants: Stuart A. Fraser et al. Docket No.: CF/00: Fig. April 19, 2000 Appl SYSTEMS AND METHODS FOR TRADING Docket No.: CF/002

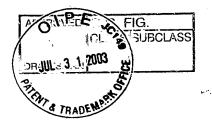
09/553,423

Attorney: Joel Weiss, Reg. No. 44,398 Tele. No. 212-596-9000 Express Mail Label No.: EV242439368US Sheet 22 of 32

22/32

FIG. 22a

\$/YEN					
121	.205	25	12	1.220	45
CUST.	BID	вот	CUST.	OFFER	SOLD
2202—3001 2204—3002 2206—3003 2208—3001	5 5 10 5	0 0 0 0	3007 3006 3005	25 10 10	0 0 0
TOTAL	25	0 ·		45	0



Applicants: Stuart A. Fraser et al. Docket No.: CF/002
Filed: 19, 2000 Appl. No.
For: SYSTEMS AND METHODS FOR TRADING

Tale No. 212 596-9000

Tele. No. 212-596-9000

Attomey: Joel Weiss, Reg. No. 44,398 Express Mail Label No.: EV242439368US Sheet 23 of 32

23/32

FIG. 22b

\$/YE	N			RE	FNO 68119	
	121.205	HIT	25	12	1.220	45
	CUST.	BUY	вот	CUST.	SELL	SOLD
	[3003	0	10]	[3005	0	25]
	3002 3001	0 0	5 10			
	TOTAL	0	25		0	25



Applicants: Stuart A. Fraser et al. Docket No.: CF/002 File Poril 19, 2000 Appl. SYSTEMS AND METHODS FOR TRADING

Tele. No. 212-596-900

09/553,423

Attorney: Joel Weiss, Reg. No. 44,398 TExpress Mail Label No.: EV242439368US Sheet 24 of 32

24/32

FIG. 22c

			REFNO	68119	
121.205	HIT	25			
CUST.	BUY	вот	CUST.	SELL	SOLD
[3003	15	242224410]	[3005	0 22	246 25]
3002	0	5	3004	50	0
3001	0	10			
TOTAL	15	25		50	25



Applicants: Stuart A. Fraser et al. File Foril 19, 2000 Appl. No. 217002

Appl. No. 21

Docket No.: CF/002

09/553,423

25/32

FIG. 22d

\$/YE	V		Ri	FNO 68119		
	. 121.205	HIT	40			
	CUST.	BUY	вот	CUST.	SELL	SOLD
	[3003	0	25]	3005	0	35
	3002	0	5	3004 226	45 4 — 226	5
	3001	0	10	220	4- 220	,2-
	TOTAL	0	40		45	40



Applicants: Stuart A. Fraser et al. Final 19, 2000

Docket No.: CF/002 Appl SYSTEMS AND METHODS FOR TRADING Altorney: Joel Weiss, Reg. No. 44,398 Tele. No. 212-596-99 Express Mail Label No.: EV242439368US Sheet 26 of 32

Tele. No. 212-596-9000 Sheet 26 of 32

.: 09/553,423

26/32

FIG. 23a

\$/YEN	REFNO 68119						
	121.205	HIT	7				
CUST.	BUY	вот	CUST.	SELL	SOLD		
3001	0	5 2302	[3007	0	7]		
3002	0	12304					
3003	0	12306					
[3004 121.10	0 10	0]					
TOTAL	10 .	7		0	7		



Applicants: Stuart A. Fraser et al.

File Poril 19, 2000

For SYSTEMS AND METHODS FOR TRADING

Attorney: Joel Weiss, Reg. No. 44,398

Express Mail Label No.: EV242439368US

Docket No.: CF/002

Appl. No.: 09/553,423

Tele. No. 212-596-9000

Sheet 27 of 32

27/32

FIG. 23b

ſ				<u> </u>		
	\$/YEN		TZ	Z RE	FNO 68119	
	120.100	HIT	10	•		0
	CUST.	BUY	ВОТ	CUST.	SELL	SOLD
	[3004 3001	0 0	10] 5	[3007	15	17]
	3002 3003	0 0	1 1			
	TOTAL	0	17		15	17



Applicants: Stuart A. Fraser et al.

Filed 19, 2000

For: SYSTEMS AND METHODS FOR TRADING
Attorney: Joel Weiss, Reg. No. 44,398

Express Mail Label No.: EV242439368US

Docket No.: CA

A Tele. No. 212-5

Sheet 28 of 3 Docket No.: CF/002

/553,423

Tele. No. 212-596-9000 Sheet 28 of 32

28/32

FIG. 24a

				C 24	100	
ſ	2402					
	124.20	25				
	CUST.	BID	BOT	CUST.	OFFER	SOLD
2408 2410	2001 2002	10 15	0	2007 2006	5 10	0_2416 0_2418
	TOTAL	25	0		15	0
2404 2412	124.00 2005	20 20		124.40 2008	10 10	0_2420
	TOTAL	20			10	0
2406 2414	123.90 2012	45 45		124.50 2007 2011	60 20 40	⊂2422 ⊂2424
	TOTAL	45			60	0
	[124] 45x.90	20x.00	25x.20x	15x	.30 10x.40	60x.50



Applicants: Stuart A. Fraser et al. Docket No.: Comparison of the April 19, 2000 SYSTEMS AND METHODS FOR TRADING

Docket No.: CF/002

Tele. No. 212-596-9000 Sheet 29 of 32

: 09/553,423

Attorney: Joel Weiss, Reg. No. 44,398 Express Mail Label No.: EV242439368US

29/32

FIG. 24b

1	24.20 TO	.00 HIT 76			<u>.</u>	
_	CUST.	BUY	вот	CUST.	SELL	SOLD
124.30		WT10 5 WT5	10 1 11	2008	14	76
124.00	2005	0	20			
123.90	2012	0	45			
	TOTAL		76			



Applicants: Stuart A. Fraser et al.

Filed Filed

Tele. No. 212-596-9000

99/553,423

30/32

FIG. 24C

[124] 45	5X00 20X.10 15X.20	10X.30) HIT		
	CUST. BID	BOT	CUST.	OFFER-	SOLD
124.30	2009	10	2008		10
	TOTAL	10			10
124.20	2001 2002	14 1	2008		15
	TOTAL	15			
124.00	2005	20	2008		20
	TOTAL	20			20
123.90	2012	45	2008		45
	TOTAL	45			45
TOTAL		90	·····		90



Applicants: Stuart A. Fraser et al.

Docket No.: CF/002

Appl. No.: 09/553,423

For: SYSTEMS AND METHODS FOR TRADING

Attorney: Joel Weiss, Reg. No. 44,398

Express Mail Label No.: EV242439368US

Tele. No. 212-596-9000

Sheet 31 of 32

31/32

FIG. 25a

T/N	1WK	1MO	2MO	3MO	6MO	1YR
		[34-30]	3/5	28DAYS		
0-70]2	/5					
_						
)-70] 2/5	[34-30] 0-70] 2/5	[34-30] 3/5 0-70] 2/5	[34-30] 3/5 28DAYS	[34-30] 3/5 28DAYS 0-70] 2/5



Applicants: Stuart A. Fraser et al. Filed: April 19, 2000 For: SYSTEMS AND MET

Docket No.: CF/002

For: SYSTEMS AND METHODS FOR TRADING
Attorney, Joel Weiss, Reg. No. 44,398 Tele. No. 212-596-9000
Express Mail Label No.: EV242439368US Sheet 32 of 32

32/32

FIG. 25b

O/N	T/N	1WK	1MO	2MO	ЗМО	6MO	1YR
	-		HIT [34] [124.31]	3/5	28 DAYS		
[124.6	5]						